



# Controlling in the DFG

International Workshop on Accountability in Research Funding

*“A New Decade of Managing Risks and Accountability Challenges”*

Oslo, Norway

# Contents

1. An introduction to the DFG
2. Controlling, statistical reporting, quality assurance and auditing in the DFG Head office
3. Controlling and cost-performance accounting

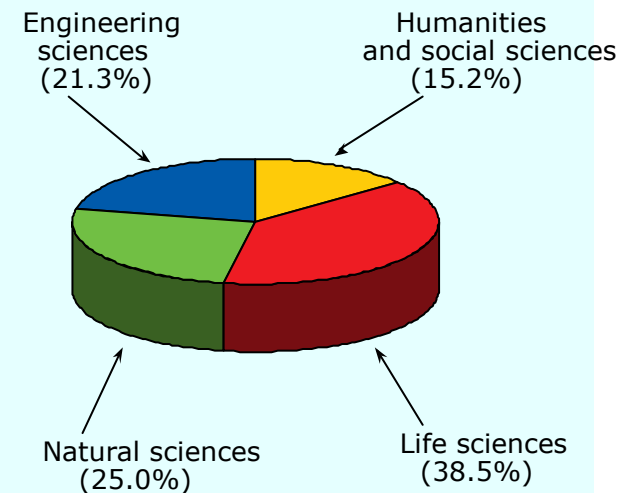


# Who we are

- ▶ The central public funding organisation for academic research in Germany, constituted as association under private law.
- ▶ The 96 members of the association are
  - 69 German universities
  - 16 major non-university research institutions (e.g. Max Planck Society, Fraunhofer-Gesellschaft, WGL)
  - 8 German academies of sciences and humanities
  - 3 scientific associations

# Mission

- ▶ The German Research Foundation serves all branches of science and the humanities by funding research projects and facilitating cooperation among researchers.
- ▶ It devotes particular attention to the education and advancement of young researchers.
- ▶ It promotes equality between men and women in the scientific and academic communities.
- ▶ It advises parliaments and public authorities on scientific matters and
- ▶ fosters relations with the private sector and between scientists and academics at home and abroad.

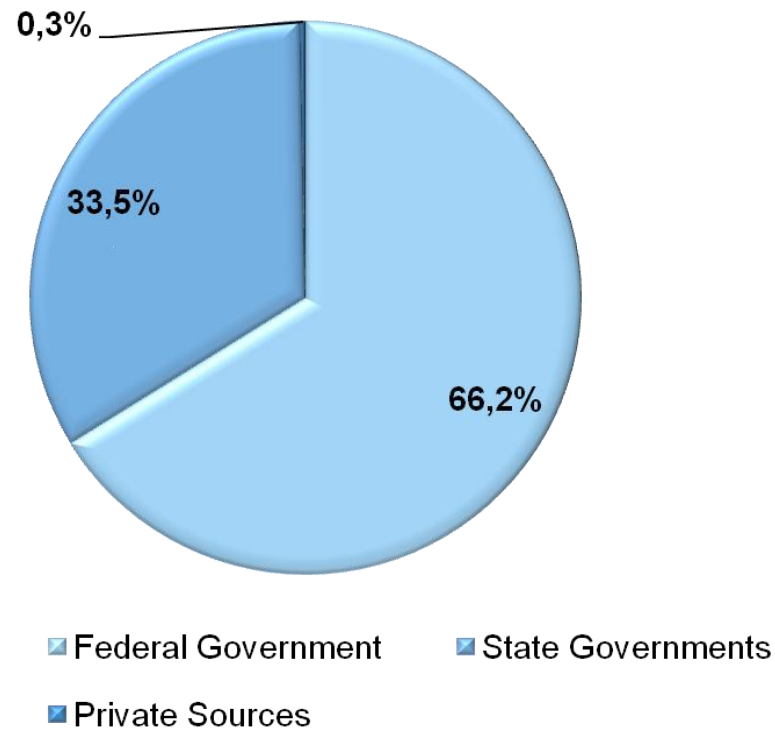


\* Data base: Approvals 2.501 m € 2009

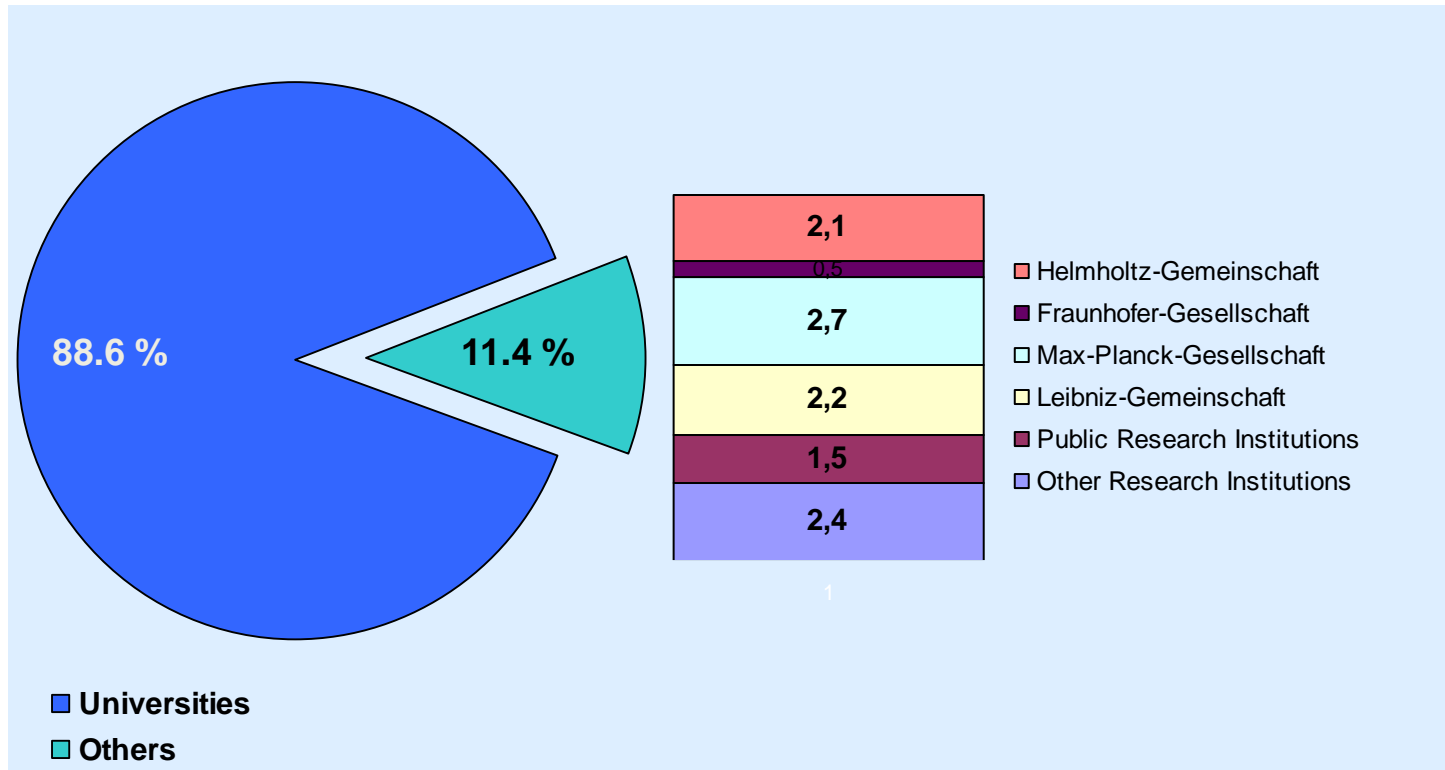
# Sources of DFG funding

**Annual budget 2009: € 2.2 billion**

**Sources:**



# Addressees of the DFG research funding

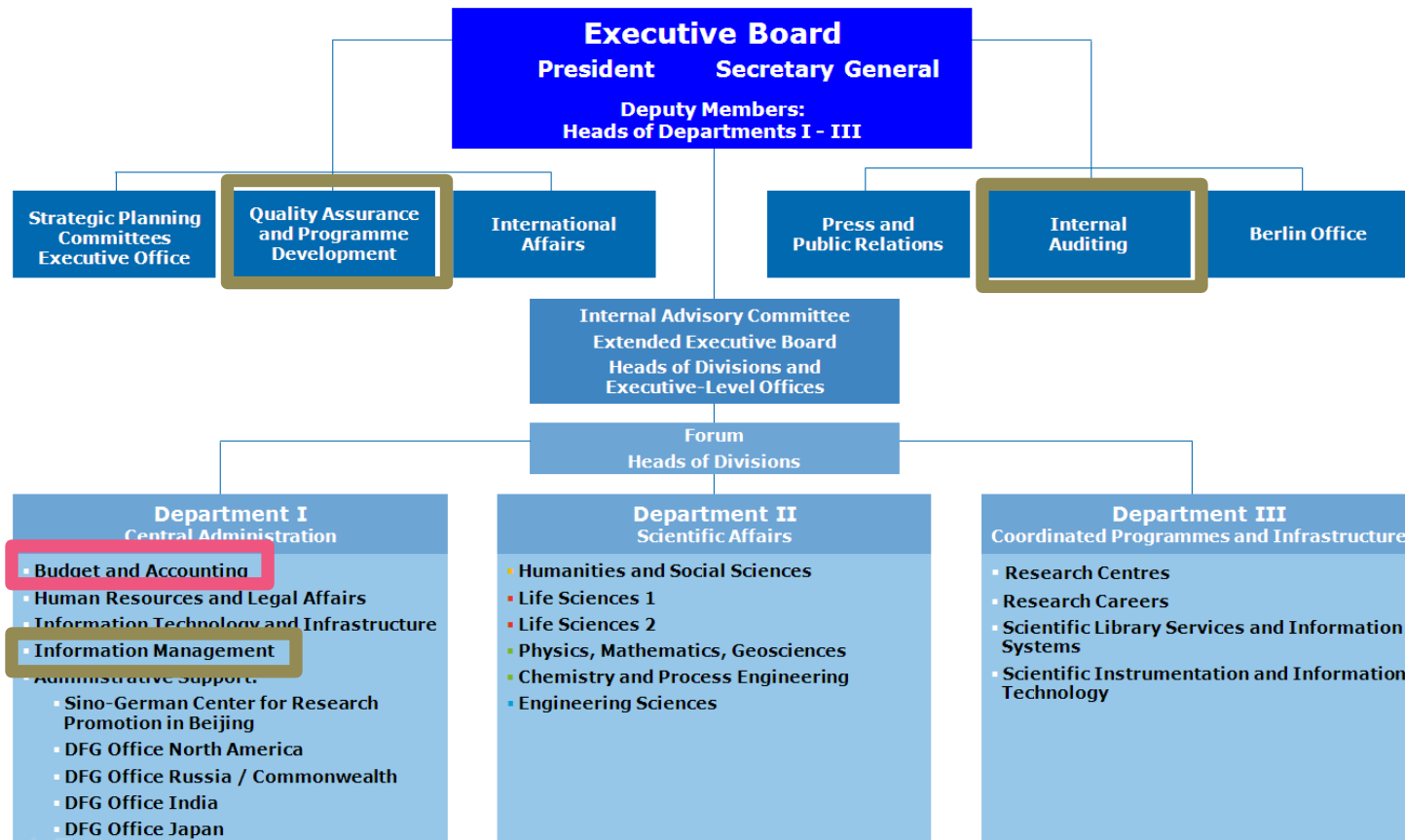


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# Controlling, statistical reporting, quality assurance and auditing



# Reporting based on data about the processing of funding applications (Information Management)

## For Addressees in the DFG head office

- ▶ Application/approval ratios by characteristics as scientific area, type of institution, gender, funding programme
- ▶ Information about the use of the financial frame for approvals

## For universities and other research institutions

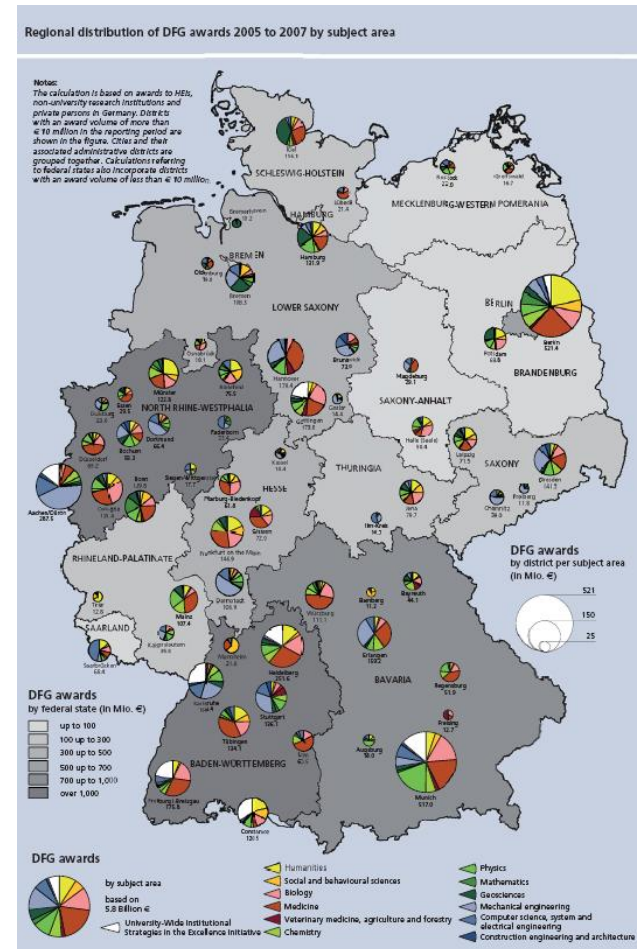
- ▶ Information about the processing of their particular applications
- ▶ Number and type of approvals



# Reporting based on the processing of funding applications

**Surveys** carried out by the DFG Head Office (Information Management):

- ▶ DFG Funding Ranking
- ▶ Applications handed in by junior professors
- ▶ Female scientists in the DFG
- ▶ Survey of the grantees in DFG Research Training Groups



# Reporting based on the processing of funding applications

**Programme Evaluation** carried out by the  
Institute for Research Information and Quality  
Assurance

- ▶ Reviewers opinion survey: Quality of peer reviews in the DFG
- ▶ Evaluation of the Emmy Noether Programme
- ▶ Evaluation of the Excellence Initiative
- ▶ Evaluation of the Transregional Collaborative Research Centres



- ▶ a central research facility, funded by the DFG.
- ▶ <http://www.research-information.de/>

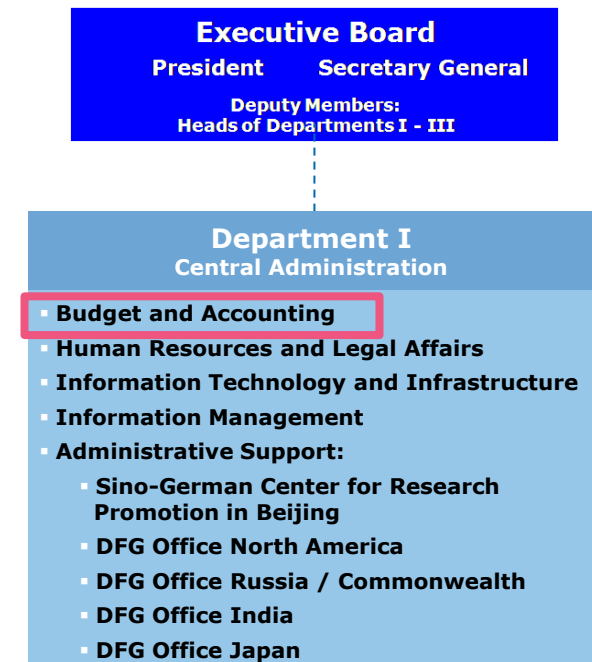
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# Mission of the cost-performance accounting and controlling

- ▶ Provide data about the efficiency of internal processes to the management
- ▶ Achieve cost transparency
- ▶ Increase cost awareness
- ▶ Monitor the cost development
- ▶ Improve the data basis for the planning of resource allocations
- ▶ Improve the calculation basis for economic appraisals in the service units
- ▶ Develop instruments for other departments in order to support their detecting financial or process risks

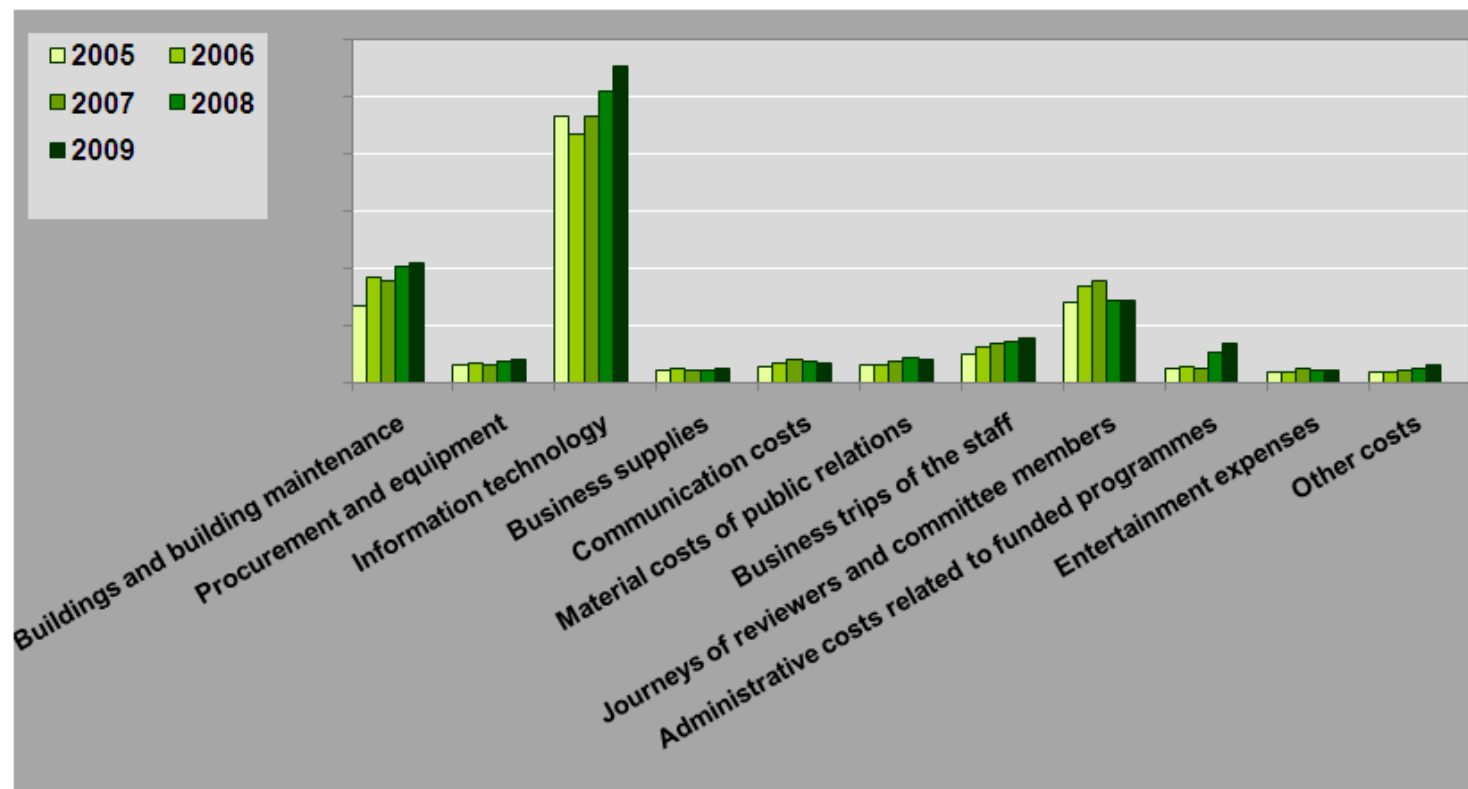


# Reports based on financial data

- ▶ Cost-performance accounting and controlling reports
- ▶ Reporting about administrative expenses
- ▶ Reporting about funding expenditure
- ▶ Reports that match financial data with data from the grant application database, such as reports about open awards or the time period until the first employing of funds
- ▶ Planned: Develop standardized reports for other organisational units with the goal to provide hints about unusual project accountings in funded research institutions

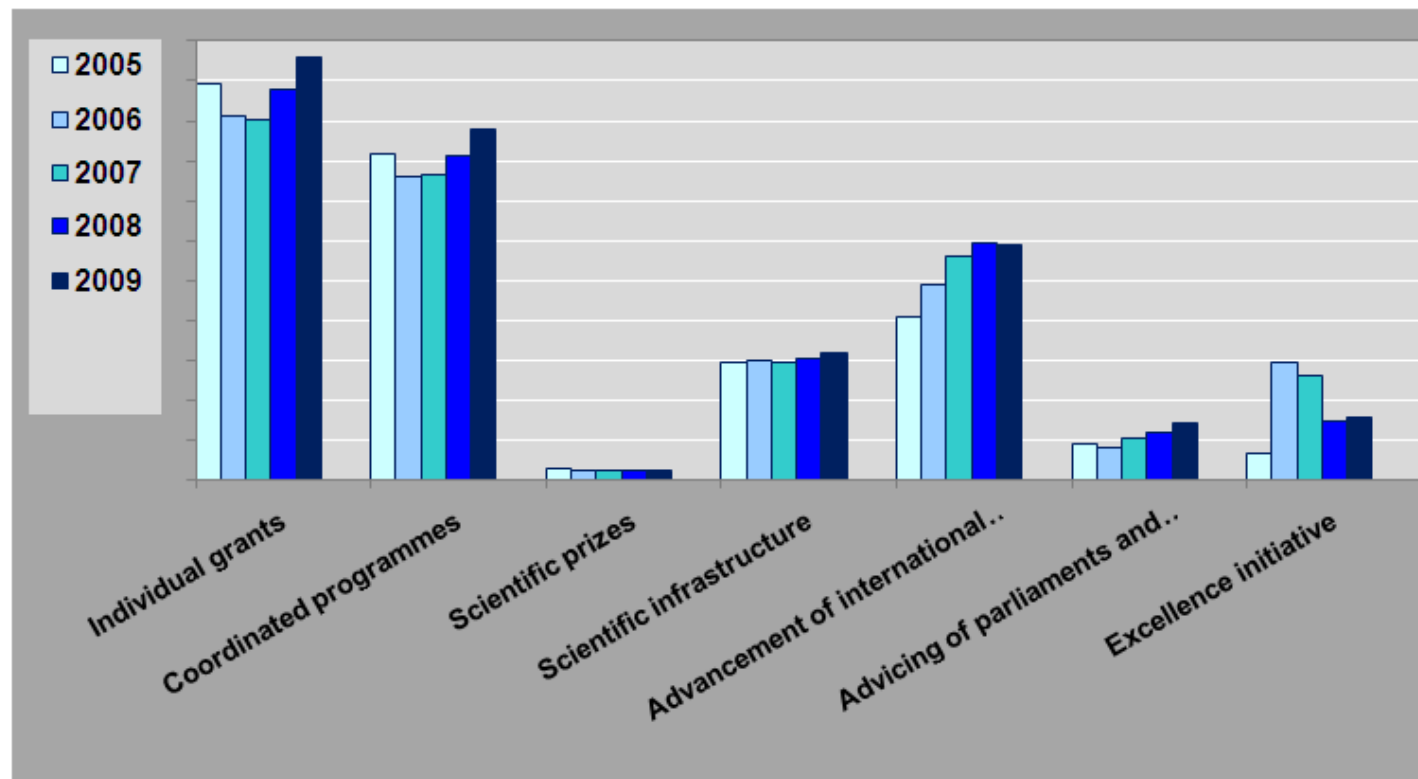
# Cost monitoring

## ► Material costs, grouped



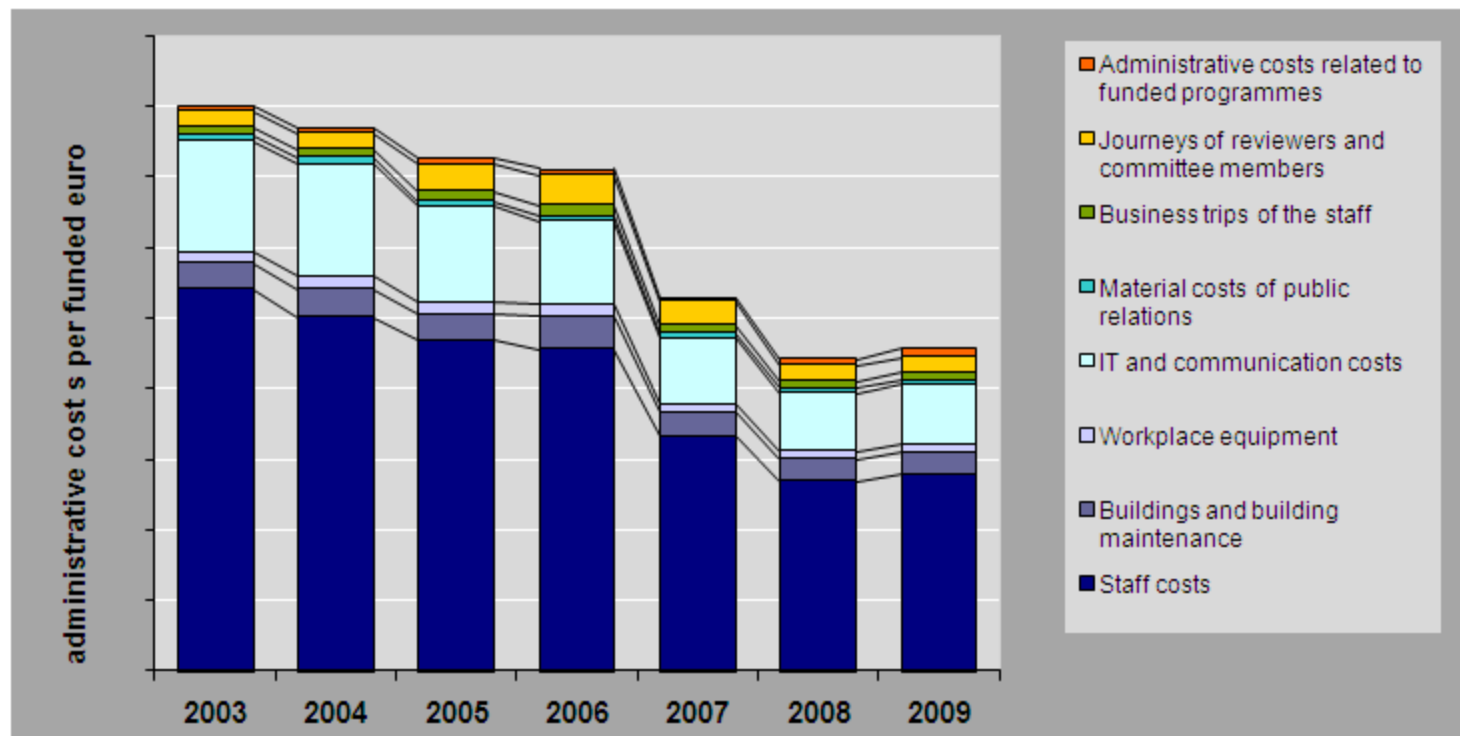
# Cost monitoring

## ► External cost units, grouped



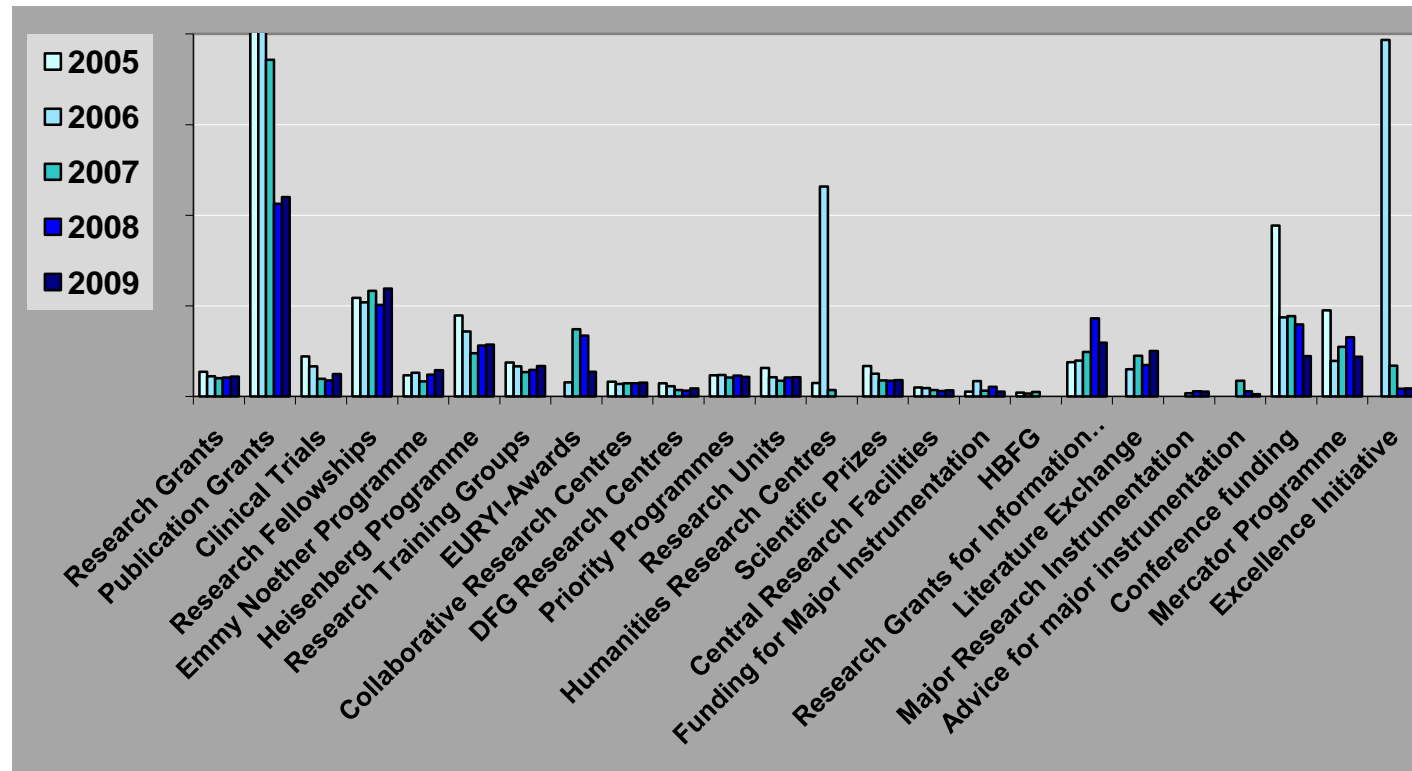
# Controlling

## ► Total administrative costs per funded euro (including overhead funding)



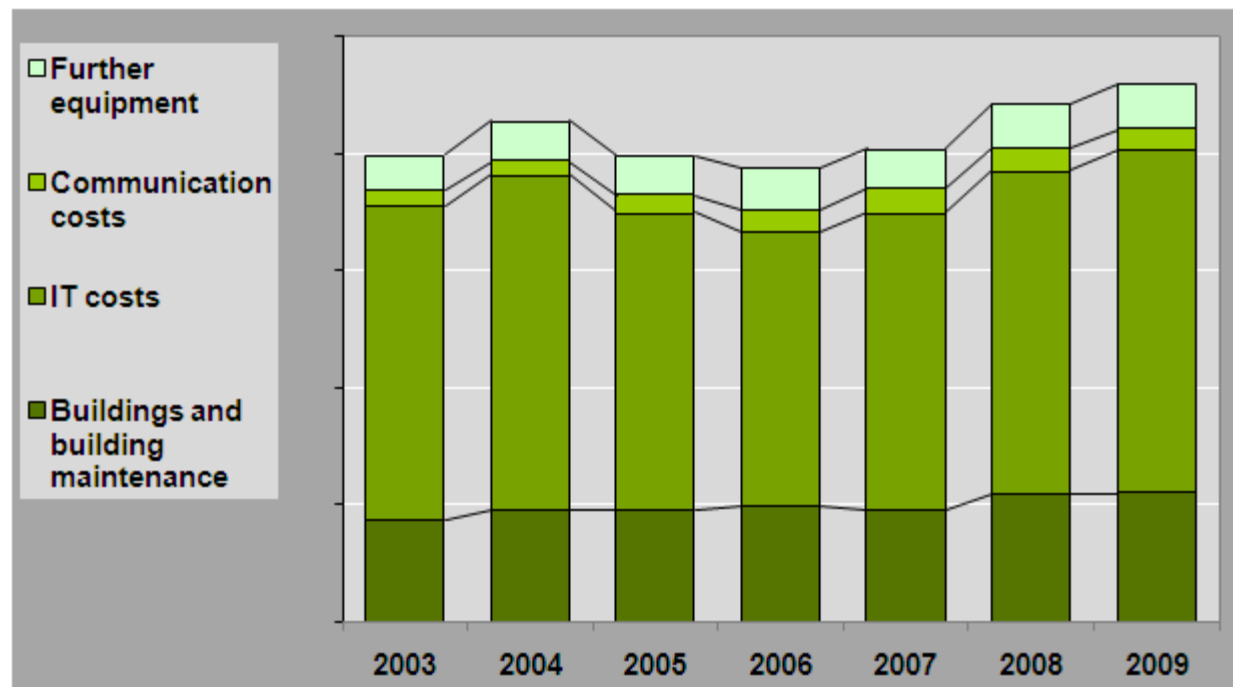
# Controlling

- ▶ Administrative costs per funded euro by funding programme (without overhead funding)



# Controlling

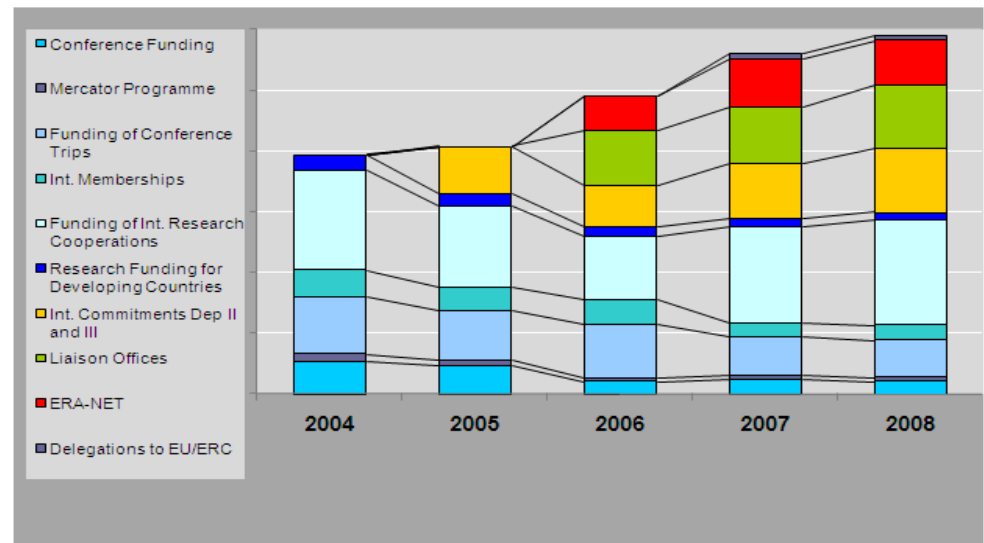
## ► Material costs of the workplace, per capita and per year, by cost types



# Controlling

In-depth analyses of relevant topics. That were till date:

- ▶ Costs of business trips
- ▶ costs of the participation in ERA-Nets
- ▶ Costs of the advancement of international scientific cooperations



# Consequences

These management information have nudged changes in administrative processes on the medium term:

- ▶ Modification of the procedures in the research funding for developing countries
- ▶ Transfer of the funding of conference trips to the DAAD
- ▶ Reorganisation of the processing of publication grants
- ▶ Organisational studies of the advancement of international scientific contacts and of the information technology in the DFG.



# Thank you for your attention

## For more information

- ▶ on the DFG: **[www.dfg.de/en/](http://www.dfg.de/en/)**
- ▶ on DFG-funded projects: **[www.dfg.de/gepris/](http://www.dfg.de/gepris/)**
- ▶ on over 17,000 German research institutes: **[www.dfg.de/research\\_explorer/](http://www.dfg.de/research_explorer/)**